

PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

15

Application Number

09/706,678

Filing Date

November 6, 2000

First Named Inventor

Webster Hughes

Art Unit

3624

Examiner Name

Jagdish Patel

Attorney Docket Number

612/2

ENCLOSURES

(Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Reply to Missing Parts/
Incomplete Application☐Reply to Missing Parts
under 37 CFR 1.52 or 1.53☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert to a
Provisional Application☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) _____

☐ Landscape Table on CD☐

Remarks

☐

After Allowance Communication to TC

☐Appeal Communication to Board
of Appeals and Interferences☐Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☒Other Enclosure(s) (please identify
below):Req to Correct Invtorship, Stmt of Inventor,
copies of 2 Decls. & POA & 2 Assignments,
Consent of Assignee, ADS, Credit Card form
& return postcard.**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Kaplan Gilman Gibson & Dernier LLP (Customer No. 27538)

Signature

Printed name

Matthew B. Dernier

Date

May 25, 2006

Reg. No.

40,989

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: Mail Stop: Amendment

Signature

Typed or printed name

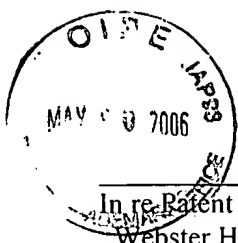
Paula M. Halsey

Date

May 25, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Webster Hughes

Application No.: 09/706,678

Group Art Unit: 3624

Filed: November 6, 2000

Examiner: Patel, Jagdish

For: METHOD & SYSTEM FOR REBROKERING
ORDERS IN A TRADING SYSTEM

Mail Stop: Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

REQUEST TO CORRECT INVENTORSHIP 37 C.F.R. § 1.48

Dear Sir:

Pursuant to the provisions of 37 C.F.R. § 1.48, Applicants hereby request that the inventorship for the above-identified application be changed to include Charles Fefferman.

The following items are included in support of this request:

- (i) statement from Charles Fefferman that the error in inventorship occurred without deceptive intention on his part;
- (ii) a new executed Declaration setting forth Webster Hughes and Charles Fefferman as inventors;
- (iii) an Application Data Sheet setting forth the order of the inventors, including the newly added inventor;
- (iv) the processing fee pursuant of 37 C.F.R. § 1.17(i); and
- (v) the written consent of the assignee for this Request to correct the inventorship.

As it is believed that the above items meet the requirements of 37 C.F.R. § 1.48, Applicants respectfully request approval of this request to correct the inventorship.

DATED: May 25, 2006

Respectfully submitted,

By: 

Matthew B. Dernier
(Reg. No. 40,989)

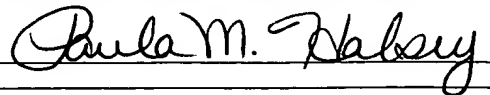
KAPLAN GILMAN GIBSON & DERNIER LLP
900 Route 9 North, 5th Floor
Woodbridge, NJ 07095
Telephone (732) 634-7634
Attorneys for Applicant

05/31/2006 RMEBRAHT 00000054 09706678

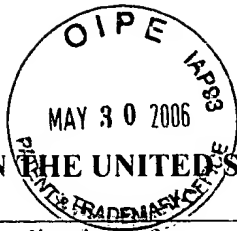
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I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS: Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: May 25, 2006 Signature: 

Print Name: Paula M. Halsey



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Webster Hughes

Application No.: 09/706,678

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Alexandria, Virginia 22313-1450

STATEMENT OF INVENTOR TO BE ADDED

Dear Sir:

I, Charles Fefferman, hereby state that I was not included as an inventor when the above-identified Patent Application was filed through error and without deceptive intention on my part.

DATED: ^{May 13}~~April~~ ____, 2006

By: _____

Charles Fefferman



Declaration and Power of Attorney

As a below named inventor, I hereby declare:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the following invention:

Title: METHOD AND SYSTEM FOR REBROKERING ORDERS IN A TRADING SYSTEM

 The specification of which is attached hereto.

 X The specification of which was filed on November 6, 2000

as Application Serial No. 09/706,678

and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I hereby claim foreign priority benefits under 35 U.S.C. §§ 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America.

Prior Foreign Application(s):

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

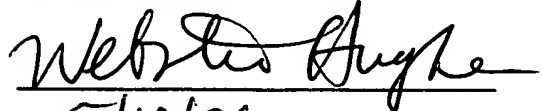
I hereby appoint all practitioners of Kaplan Gilman Gibson & Dernier LLP associated with **Customer Number 27538** jointly and severally as my attorneys and/ or agents with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Direct correspondence to: Matthew B. Dernier, Esq. at the address associated with **Customer Number 27538**.

Full name of **FIRST NAMED INVENTOR**:

Webster Hughes

Inventor's Signature:



Date:

5/10/06

Residence:

Charlotte, North Carolina

Citizenship:

USA

Post Office Address:

4807 Pellyn Farm Court

Charlotte, North Carolina 28226

Full name of **SECOND NAMED INVENTOR**:

Charles Fefferman

Inventor's Signature:

Date:

Residence:

Princeton, New Jersey

Citizenship:

USA

Post Office Address:

234 Clover Lane

Princeton, New Jersey 08540



Declaration and Power of Attorney

As a below named inventor, I hereby declare:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the following invention:

Title: METHOD AND SYSTEM FOR REBROKERING ORDERS IN A TRADING SYSTEM

 The specification of which is attached hereto.

 X The specification of which was filed on November 6, 2000
as Application Serial No. 09/706,678
and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I hereby claim foreign priority benefits under 35 U.S.C. §§ 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America.

Prior Foreign Application(s):

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint all practitioners of Kaplan Gilman Gibson & Dernier LLP associated with **Customer Number 27538** jointly and severally as my attorneys and/ or agents with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Direct correspondence to: Matthew B. Dernier, Esq. at the address associated with **Customer Number 27538**.

Full name of **FIRST NAMED INVENTOR**:

Webster Hughes

Inventor's Signature:

Date:

Residence:

Citizenship:

Post Office Address:

Charlotte, North Carolina

USA

4807 Pellyn Farm Court

Charlotte, North Carolina 28226

Full name of **SECOND NAMED INVENTOR**:

Charles Fefferman

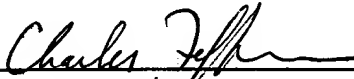
Inventor's Signature:

Date:

Residence:

Citizenship:

Post Office Address:


5/10/06

Princeton, New Jersey

USA

234 Clover Lane

Princeton, New Jersey 08540

Application Data Sheet



Application information

Application Number::	09/706,678
Application Type::	Utility
Subject Matter::	
Suggested Group Art Unit::	No
CD-ROM or CD-R?::	No
Sequence submission?::	No
Computer Readable Form (CRF)::	No
Title:	METHOD AND APPARATUS FOR REBROKERING ORDERS IN A TRADE SYSTEM
Attorney Docket No.::	612/2
Request for Early Publication::	No
Request for Non-Publication::	No
Suggested Drawing Figure::	1
Total Sheets of Drawings::	17
Small Entity?::	Yes
Petition Included?::	No
Secrecy Order in Patent Appl.?::	No

Applicant Information

Applicant Authority Type::	Inventor
Primary Citizenship Country::	USA
Status::	Full Capacity
Given Name::	Webster
Family Name::	Hughes
City/State of Residence::	Charlotte, North Carolina
Country of Residence::	USA
Street of Mailing Address::	4807 Pellyn Farm Court
City of Mailing Address::	Charlotte
State of Mailing Address:	North Carolina
Postal or Zip Code of Mailing Address::	28226

Applicant Authority Type:: Inventor
Primary Citizenship Country:: USA
Status:: Full Capacity
Given Name:: Charles
Family Name:: Fefferman
City/State of Residence:: Princeton, New Jersey
Country of Residence:: USA
Street of Mailing Address:: 234 Clover Lane
City of Mailing Address:: Princeton
State of Mailing Address: New Jersey
Postal or Zip Code of Mailing Address:: 08540

Correspondence Information

Correspondence Customer Number:: 27538
Phone Number:: (732) 634-7634
Fax Number:: (732) 634-6887
E-Mail Address: mdernier@kggd.com

Representative Information

Representative Customer Number:: 27538

Prior Domestic/Foreign Application(s):

Application::	Continuity Type::	Parent Application::	Filing Date::
60/173,581	Provisional		12/29/99
60/178,049	Provisional		01/24/00
60/201,599	Provisional		05/03/00

Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed:

Assignee Information

Assignee name::	Wall Corporation
Street of mailing address::	280 Railroad Avenue, Suite 200
City/State of mailing address::	Greenwich, Connecticut
Country of mailing address::	USA
Postal or Zip Code of mailing address::	06830



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor Patent Application of:
Webster Hughes

Application No.: 09/706,678

Group Art Unit: 3624

Filed: November 6, 2000

Examiner: Patel, Jagdish

For: METHOD & SYSTEM FOR REBROKERING
ORDERS IN A TRADING SYSTEM

Mail Stop: Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

CONSENT OF ASSIGNEE 37 C.F.R. § 3.73(b)

Dear Sir:

Pursuant to 37 C.F.R. § 1.48(a)(5) and § 3.73, I, Webster Hughes, being an officer of Wall Corporation, the Assignee of the above-identified patent application by way of assignment (copy enclosed), hereby consent to a Request to Correct Inventorship in the above-identified patent application to include Charles Fefferman.

DATED: ^{May} April 10, 2006

By: Webster Hughes

Name: Webster Hughes

Title: Principal Owner

Assignment of Patent Rights

The parties to this assignment are listed below and if there is more than one Assignor or Assignee, the words "Assignor" and "Assignee" shall include them:

Assignor: Charles Fefferman having an address at 234 Clover Lane, Princeton, NJ 08540; and

Assignee: Wall Corporation having an address at 280 Railroad Avenue, Suite 200, Greenwich, CT 06830.

This assignment relates to the following patent application and/or issued patent, which is hereinafter referred to as "the Patent":

[] a United States patent application signed by Assignor on _____, 2006, and entitled _____; or

[X] a United States patent application filed in the U.S. Patent and Trademark Office on November 6, 2000, Serial No. 09/706,678 entitled METHOD AND SYSTEM FOR REBROKERING ORDERS IN A TRADING SYSTEM; or

[] an issued United States patent, issued on _____, 2006, under United States Patent No. _____

Assignor has received Ten Dollars (\$10.00) and other good and valuable consideration for this assignment. Assignor assigns to Assignee all of Assignor's right, title and interest in the Patent, the invention(s) described and claimed in the Patent, and all patents that may issue based on the invention(s) and on the Patent, including any patent that issues from a divisional and/or continuing application claiming benefit of the Patent, in the United States and in every foreign country, including the right to enforce the Patent for infringement accrued prior to the effective date of this assignment. Assignor also assigns to Assignee all priority rights in the Patent.* In those countries where permitted, the Assignor authorizes the Assignee to apply for patents for the invention directly in Assignee's name.* Assignor authorizes the Commissioner of Patents and Trademarks or other governmental authority to issue all patents for the invention directly to Assignee. Assignor states that Assignor has the right to grant to Assignee the rights which are assigned by this assignment. Assignor will sign any additional documents as may be needed to carry out the purpose of this assignment. This assignment is binding on all parties who lawfully succeed to the rights of or take the place of Assignor or Assignee.

The undersigned hereby grant(s) to the firm of Kaplan Gilman Gibson & Dernier LLP, 900 Route 9 North, Woodbridge, New Jersey 07095, the power to insert on this assignment any further identification of the Patent which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office concerning recordation of this document.

The effective date of this assignment is _____

SIGNATURE(S)

DATE

TYPED OR PRINTED NAME(S)

Charles Fefferman
Assignor Signature

May 13, '06

Charles Fefferman

Witness Julie Fefferman

Date May 13, '06

Witness Chris Fefferman

Date May 13, '06

* Strike italicized sections only if foreign rights are not intended to be assigned.

ASSIGNMENT

WHEREAS, XBOND Corporation, a corporation organized under and pursuant to the laws of Delaware having its principal place of business at 4807 Pellyn Farm Court, Charlotte, North Carolina 28226 (hereinafter referred to as Assignor), is the sole and exclusive owner of the U.S. Patent Application No. 09/706,678, Filed on November 6, 2000 with the Title: "Method and Systems for Rebrokering Orders in a Trading System" and invented by Webster Hughes;

WHEREAS, Wall Corporation, a corporation organized under and pursuant to the laws of Delaware having its principal place of business at 420 Round Hill Road, Greenwich, Connecticut 06831 (hereinafter referred to as Assignee), is desirous of acquiring the right, title and interest in, to and under said Patent Application and the inventions covered thereby:

NOW, THEREFORE, in consideration of and in exchange for the sum of One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged, the said Assignor has sold, assigned, transferred and set over, and does hereby sell, assign, transfer and set over to the said Assignee, the entire right, title and interest for the United States of America and all other countries in and to said application for all original divisional, continuation, continuation-in-part, substitute or reissue applications and patents applied for or granted therefore in the United States of America and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue the patent from U.S. Application No. 09/706,678 to said assignee herein, as assignee of the entire interest therein; and the undersigned for itself and its legal representatives, heirs and assigns does hereby agree and covenant without further remuneration, to execute and deliver all divisional continuation, continuation-in-part, reissue and other applications for Letters Patent and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said invention covered by U.S. Application No. 09/706,678 whenever requested, to testify in any interferences or other legal proceedings in which any of said application or patent may become involved, to sign all lawful papers, make all rightful oaths, and do generally everything necessary

to aid assignee, its successors, assigns and nominees to obtain patent protection for said invention covered by U.S. Patent Application No. 09/706,678 in the United States of America, the expenses incident to said application to be borne and paid by said assignee.

EXECUTED on the date indicated below opposite my signature.

DATE: 9/29/04



Webster Hughes
XBOND Corporation

THE STATE OF NORTH CAROLINA

COUNTY OF MECKLENBERG

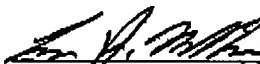
This instrument was acknowledged by Brian Ross, on the 29 day of September, 2004.

My Commission Expires: Feb 22, 2009



Notary Public in and for the State of
North Carolina

DATE: 10/6/04



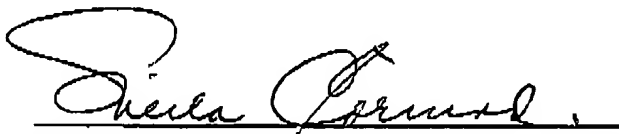
Lee H. Miller
President
Wall Corporation

THE STATE OF CONNECTICUT

COUNTY OF Fairfield

This instrument was acknowledged by STEICA CORVINO, on the 6 day of October, 2004.

My Commission Expires: 3/31/05



Notary Public in and for the State of Connecticut